

OHSAS 18001:1999 - Cliff Notes

4.1 General requirements: The organizational shall establish and maintain an OH&S management system, the requirements for which are set out in clause 4

4.2 Policy

Purpose: A policy statement sets corporate goals and establishes a base from which decisions are made within an organization. OHSAS 18001 requires the formal establishment of a policy concerning health & safety issues.

4.2 OH&S Policy. *There shall be an OH&S policy authorized by the organizations top management that clearly states overall health and safety objectives and a commitment to improving health & safety performance which shall:*

- Appropriate to nature & scale of operations
- Include commitment to continual improvement
- Commitment to comply with local laws
- Be documented, maintained, communicated
- Available to all interested parties
- Reviewed periodically to ensure relevance
- Should reflect vision, mission, core values, hazards & risks of ops

4.3 Planning

Purpose: Once a health & safety policy is established, the organization must review its own health & safety issues and determine the best method of managing them. This typically involves a goal setting process as part of the organization's strategic planning program

4.3.1 Planning for hazard¹ identification, risk² assessment & risk control³ the organization shall establish and maintain procedures for the ongoing identification of hazards, the assessment of risks, and the implementation of necessary control measures. These shall include:

- Routine and non-routine activities
- Activities of all personnel having access to the workplace (contractors/visitors incl.)
- Facilities at workplace provided by organization or others

The organization shall ensure that the results of these assessments and the effects of these controls are considered when setting its OH&S objectives. The organization shall document and keep this information up to date. The

¹ Hazard: source or situation with a potential for harm in terms of injury or ill health, damage to property, to work place or combination

² Risk: combination of the likelihood and consequences of a specified hazardous event occurring

³ incl. size, nature, complexity, workplace situation, mgt.

organizations methodology for hazard identification and risk assessment shall:

- Be defined wrt scope, nature and timing to ensure it is *proactive*;
- Provide for the classification of risks and identification of those to be eliminated or controlled by measures in 4.3.3 and 4.3.4;
- Be consistent with operating experience and the capabilities of risk control measure employed (?);
- Provide *input into determination of facility requirements*, training needs and/or operational controls; and
- Provide for *monitoring of required actions* to ensure both effectiveness and timeliness of their implementation

4.3.2 Legal & Other requirements. The organization shall establish and maintain a procedure to identify and accessing the legal and other OH&S requirements applicable to it. It shall *keep this information up to date, communicate relevant information on legal & other requirements to employees and other relevant interested parties*

4.3.3 Objectives. The organization shall establish and maintain documented health & safety objectives for each relevant function and at each level within the organization. When establishing objectives an organizational shall consider legal and other requirements, its OH&S hazards and risks, technological options, financial & biz requirements, and views of interested parties. Objectives shall be consistent with OH&S policy, including commitment to continual improvement.

4.3.4 OH&S Programme(s). The organization shall establish and maintain an OHS management program to achieve objectives. This shall include documentation of

- Designated responsibility and authorities for *achievement of objectives* at relevant functions and levels in organization
- The means and *timescale* by which objectives are to be achieved

4.4 Implementation & Operation

4.4.1 Structure & responsibility.

The roles, responsibilities and authorities of personnel who manage, perform and verify activities having an effect on the OH&S risks of the organizations activities, facilities and processes shall be defined, documented, and communicated in order to facilitate OH&S management.

Ultimate responsibility for OH&S rests with top management. The organization shall appoint a member of top management with particular responsibility for ensuring

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that OH&S system is properly implemented and performing to specified requirements in all locations & spheres in the organization.

Management⁴ shall provide resources essential to the implementation, control, and improvement of the OHS MS. The organizations management appointee shall have defined roles, responsibilities and authority for:

- a. Ensuring that OH&S MS requirements are est, impl, & main in accordance with OHSAS specifications
- b. Ensuring report on performance of OHS MS are presented to top mgt for review and as basis for continuing improvement of MS

4.4.2 Training, Awareness & Competence
Personnel shall be competent to perform tasks that may impact on OH&S in workplace. Competence shall be defined in terms of appropriate education, training or experience. It shall est/main procedures to ensure employees working at each relevant function & level aware:

- importance of conformance to OH&S policy & procedures and reqs. of OHS MS
- OH&S consequences, actual or potential, of their work activities and benefits of improved personal performance
- their roles and responsibilities in achieving conformance to policy and procedures of OHSMS incl. emergency preparedness & response
- potential consequences of departures from SOP
- training shall account for different levels of responsibility, ability, literacy and risk

4.4.3 Consultation & Communication the organization shall have procedures for ensuring that pertinent OH&S information is communicated to and from employees and other interested parties. Employee involvement and consultation arrangements shall be documented and interested parties informed. Employees shall be:

- involved in the development & review of policies and procedures to manage risks
- consulted where there are any changes that affect workplace H&S
- represented on H&S matters and aware who their OH&S representative and management appointee (see 4.4.1)

4.4.4 OH&S Management System Documentation.
The organization shall establish & maintain information in a suitable medium such as paper or electronic form that:

- a) Describes the core elements of the MS and their interaction and
- b) Provides direction to related documentation

4.4.5 Control of Documents & Data.
The organization shall establish and maintain procedures for controlling all documents and data requires by this OHSAS specification (standard) to ensure that:

- a. They can be located
- b. They are periodically reviewed, revised and approved for adequacy by authorized personnel
- c. Current versions of relevant documents and data are available at all locations where operations essential to the effective running the OHS MS are performed
- d. Obsolete documents and data are promptly removed from all points of issue and unintended use insured
- e. Archival documents and data are retained for legal or knowledge preservation purpose or both are suitably identified

4.4.6 Operational Controls.
The organizational shall identify those operations and activities that are associated with identified risks where control measures need to be applied. The organization shall plan these activities including, maintenance in order to ensure that they are carried out under specified conditions by:

- a. establishing & maintaining documented procedures to cover situations where their absence could lead to deviations from the OH&S policy and objectives
- b. stipulating operating criteria the procedures
- c. establishing & maintaining procedures related to the identified OH&S risks of goods, equipment and services purchased and/or used by the organization and communicating relevant procedures and requirements to suppliers and subcontractors
- d. establishing and maintaining procedures for the design or workplace, process, installations, machinery, operating procedures and work organization including adaptation to human capabilities in order to eliminate or reduce OH&S risks at the source

4.4.7 Emergency Preparedness & response. The organization shall establish and maintain plans and procedures to identify the potential for and responses to incidents and emergency situations and for preventing and mitigating the likely illness and injury that may be associated with them. The organization shall review its emergency preparedness and response plans and procedures, in particular, after the occurrence of incidents or emergency situations. The organization shall also periodically test such procedures where applicable.

⁴ "All those with mgt responsibility shall demonstrate their commitment to the continual improvement of OHS perf."

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4.5 Checking & Corrective Action

4.5.1 Performance Measurement & Monitoring.

The organization shall establish and maintain procedures to monitor and measure OH&S performance on a regular basis. These procedures shall provide for

- Both qualitative and quantitative measures, appropriate to the needs of the org
- Monitor the extent to which the org's OH&S objectives are met
- Proactive measures of performance that monitor compliance with the OH&S management program, operational criteria and applicable legislation and regulatory requirements
- Reactive measures of performance to monitor accidents, ill health, incidents (including near misses) and other historical evidence of deficient OH&S performance
- Recording of data and results of monitoring and measurement sufficient to facilitate subsequent corrective and preventative action analyses

If monitoring equipment required for performance measurement and monitoring the org shall establish/maintain procedures for calibration & maintenance of such equipment. Records of calibration/main. Activities shall be retained

4.5.2 Accidents, incidents, non-conformances and corrective and preventative action. The organizations shall establish/maintain procedures for defining responsibility & authorities for:

- handling accidents, incidents, Non-Conformances,
- taking action to mitigate any consequence arising from accidents incidents or non-conformances
- initiation and completion of corrective & preventative actions
- confirmation of the effectiveness of corrective/preventive actions taken

These procedures shall require that all proposed corrective and preventative actions shall be reviewed through the risk assessment process prior to implementation. Any corrective/preventative action to eliminate causes of actual or potential non-conformances shall be appropriate to the magnitude of the problem and commensurate with OHS risk encountered

The organization shall implement and record any changes in the documented procedures resulting from corrective/preventative action

4.5.3 Records and records management. The organization shall establish/maintain procedures for the identification, maintenance and disposition of OH&S records as well as results from audits and reviews. The OH&S record shall be legible, identifiable and traceable to the activities involved. OH&S records shall be stored and maintained in such a

way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded. Records shall be maintained as appropriate to the system and to the organization to demonstrate conformance to the OHSAS specification.

4.5.4 Audit (internal). The org shall establish/maintain and audit program and procedures for the periodic OH&S MS audits to be carried out in order to

- determine whether or not OH&S MS conforms to planned arrangements including OHSAS specification
- has been properly implemented and maintained
- is effective in meeting org's policy & objectives
- review the results of previous audits
- provide information on results of audits to management

The audit program and schedule shall be based on the results of risk assessments of org's activities and the results of previous audits. The audit procedures shall cover the scope, frequency, methodologies and competencies as well as the responsibilities and requirements for conducting audits and reporting results.

Wherever possible audits shall be conducted by personnel independent of those having direct responsibility for the activity being examined.⁵

4.6 Management Review.

The org's top management shall, at intervals that it determines, review the OH&S management system to ensure its continuing suitability, adequacy and effectiveness. The review shall ensure that the necessary information is collected to allow management to carry out this evaluation. This review shall be documented. The management review shall address the need to adjust policy, objectives, and other elements of the OH&S MS in light of audit results, changing circumstances, and the commitment to continual improvement.

⁵ **Nonconformity:** "facts indicate that there is a failure to either partially or wholly of the system" (p. 54, 18001 guide). **Major:** clearly demonstrated by fact that an element of the specification has not been addressed clearly, effectively, or in its entirety" or "condition of harm or potential harm in organization not being addressed". **Minor:** deviation from a requirement of the OHSMS or the OHSAS specification (usually single or isolated occurrence)